

Operations Assessment

Objectives

- ◆ Define Operations Assessment
- ◆ Identify Key Elements of Assessments, Audits, and Surveillances
- ◆ Describe the Self-Assessment Process and its Relationship to Formal Internal/External Contractor Assessments
- ◆ Understand Stop Work Authority Responsibilities

Operations Assessment

Methodology for Operations Assessment

- ◆ Document Reviews and Interviews Confirm or Disprove Apparent Deficiencies Identified Through Observation

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Activities

- ◆ Assessment
- ◆ Audit
- ◆ Surveillance

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Assessment Process

- ◆ Planning
- ◆ Initial Observations, Interviews and Document Reviews

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Observation Do's

- ◆ Explain Your Role to Personnel Being Observed
- ◆ Develop Rapport; Put Them at Ease
- ◆ Active Listening/Observation (Apprentice Mind-Set)
- ◆ Take Good Notes
- ◆ Look for Ways to Improve Performance
- ◆ Ask Clarifying Questions

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Observation Don'ts

- ◆ Don't Assume -- Make Every Effort to Fully Understand What You Saw
- ◆ Don't Interfere

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Interview Do's

- ◆ Plan Questions in Advance
- ◆ Ask Questions Clearly and Concisely
- ◆ Allow Interviewee Time to Think Through Response
- ◆ Keep Interview on Track
- ◆ Listen Carefully and Take Good Notes
- ◆ Paraphrase at Conclusion

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Interview Don'ts

- ◆ Ask Leading Questions
- ◆ Talk Too Much or Interrupt
- ◆ Write Too Much
- ◆ Communicate Desire Response
- ◆ Manage Time Poorly

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Document Review

- ◆ To Gain Familiarity With the Requirements Contained in Facility Policies, Procedures
- ◆ To Validate or Disprove Apparent Deviations From Requirements and Identify Programmatic Breakdowns or Widespread Problems
- ◆ To Investigate Apparent Inconsistencies Between Facility Policies and Procedures and DOE Orders

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Lead Validation (“Pulling the String”)

Validate or Disprove Apparent Deviations From Requirements (Leads) Through Additional:

- ◆ Observations
- ◆ Interviews, and
- ◆ Document Reviews

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Self-Assessment

Focused for Self-Improvement

- ◆ Planned and Periodic
- ◆ Advise Management
- ◆ Avoid Conflicts of Interest
- ◆ Conducted by Knowledgeable Personnel
- ◆ Take Corrective Action

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Stop Work Authority

- ◆ Direct Operators or Supervisors to Achieve Safe Conditions
- ◆ Promptly Notify Management